

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#3

Applicants: David P. Biss, Thomas G. Brown, and Kathleen S. Youngworth

Serial No. : 09/759,913

Cnfrm. No. : 2814

Filed : January 12, 2001

For : AN APPARATUS FOR PRODUCTION OF INHOMOGENEOUSLY POLARIZED OPTICAL BEAMS FOR USE IN ILLUMINATION AND A METHOD THEREOF



TRANSMITTAL LETTER

Assistant Commissioner For Patents  
Washington, D.C. 20231  
Box: Missing Parts

BEST AVAILABLE COPY

Dear Sir:

In response to the Notice to File Missing Parts of Application Under 37 CFR 1.53(b), which was mailed by the United States Patent and Trademark Office on March 27, 2001, enclosed are:

- ☒ A Combined Declaration and Power of Attorney.
- ☒ A Request for Corrected Filing Receipt and Copy of Official Filing Receipt.
- ☒ Notification of Error in Designation of Small Entity Status.
- ☒ Submission of Substitute Drawings (8 pages of drawings).
- ☒ A copy of the Notice to File Missing Parts.
- ☒ A self-addressed, prepaid postcard for acknowledging receipt.
- ☒ Fees as calculated below:
 

FEE FOR (ONE, TWO OR THREE)-MONTH EXTENSION OF TIME	\$ 0.00
SURCHARGE 37 CFR 1.16(e)	\$ 130.00
ADDITIONAL FEES	\$1,198.00
TOTAL FEES SUBMITTED HEREWITH	\$1,328.00
- ☒ Checks that total the amount of \$1,328.00 to cover the above fees.
- ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. 14-1138. A duplicate copy of this sheet is enclosed.

Date: April 27, 2001

*Gunnar G. Leinberg*  
Gunnar G. Leinberg

Nixon Peabody LLP  
Clinton Square, P.O. Box 31051  
Rochester, New York 14603  
Telephone: (716) 263-1014  
Facsimile: (716) 263-1600

<p><b>Certificate of Mailing - 37 CFR 1.8(a)</b></p> <p>I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date below.</p> <p>4/27/01 . . . <i>Shirley A. Mesnick</i></p>
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**BEST AVAILABLE COPY**

PATENT  
Docket No.: 176/60930

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants : David P. Biss, Thomas G. Brown, and  
Kathleen S. Youngworth

Serial No. : 09/759,913

Cnfrm. No. : 2814

Filed : January 12, 2001

For : **AN APPARATUS FOR  
PRODUCTION OF  
INHOMOGENEOUSLY POLARIZED  
OPTICAL BEAMS FOR USE IN  
ILLUMINATION AND A METHOD  
THEREOF**



**SUBMISSION OF SUBSTITUTE DRAWINGS**

Assistant Commissioner for Patents  
Washington, D.C. 20231  
**Box: Missing Parts**

Dear Sir:

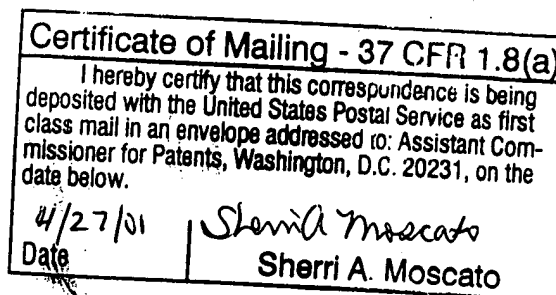
As requested in the Notice to File Missing Parts mailed March 27, 2001, enclosed for filing in the above-identified application are eight (8) sheets of substitute drawings.

Respectfully submitted,

Date: April 27, 2001

Gunnar G. Leinberg  
Gunnar G. Leinberg  
Registration No. 35,584

NIXON PEABODY LLP  
Clinton Square, P.O. Box 31051  
Rochester, New York 14603  
Telephone: (716) 263-1014  
Facsimile: (716) 263-1600



**BEST AVAILABLE COPY**

Docket No.: 176/60930 (2-11150-984)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants : David P. Biss, Thomas G. Brown, and  
Kathleen S. Youngworth

Examiner:  
To Be Assigned

Serial No. : 09/759,913

Art Unit:  
2873

Cnfrm. No. : 2814

Filed : January 12, 2001

For : AN APPARATUS FOR PRODUCTION OF  
AN INHOMOGENEOUSLY POLARIZED  
OPTICAL BEAM FOR USE IN  
ILLUMINATION AND A METHOD  
THEREOF



**REQUEST FOR CORRECTED FILING RECEIPT**

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

Dear Sir:

Applicants hereby request a corrected filing receipt for the above-identified application. Applicants request that the "SMALL ENTITY" designation in the official filing receipt be deleted, per enclosed Applicants' Notification of Error in Designation of Small Entity Status and their compliance with the itemization and deficiency payment requirements under 37 CFR § 1.28(c) being filed herewith.

Respectfully submitted,

Dated: April 27, 2001

Gunnar G. Leinberg  
Gunnar G. Leinberg  
Registration No. 35,584

Nixon Peabody LLP  
Clinton Square, P.O. Box 31051  
Rochester, New York 14603-1051  
Telephone: (716) 263-1014  
Facsimile: (716) 263-1600

**Certificate of Mailing - 37 CFR 1.8(a)**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date below.

4/27/01  
Date

Sherri A. Moscato  
Sherri A. Moscato



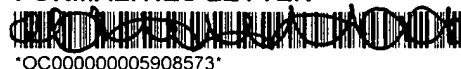
## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/759,913	01/12/2001	David P. Biss	176/60930

CONFIRMATION NO. 2814

## FORMALITIES LETTER



\*OC000000005908573\*

Gunnar G. Leinberg, Esq.  
NIXON PEABODY LLP  
Clinton Square  
P.O. Box 31051  
Rochester, NY 14603



Date Mailed: 03/27/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

05/03/2001 NBERHE 00000048 141138 09759913

01 FC:101  
02 FC:105  
03 FC:103  
04 FC:102

718.00 CH  
480.00 CH

710.00 OP  
130.00 OP  
488.00 OP

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below.


The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

Adjustment date: 05/03/2001 NBERHE  
01718/2001 SMINASS1 00000036 141138 09759913

01 FC:201 355.00 CR  
02 FC:203 603.00 CR  
03 FC:202 240.00 CR

  
\_\_\_\_\_  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP. ART. UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT. CLAIMS	IND. CLAIMS
09/759,913	01/12/2001	2873	1198	176/60930	7	87	9

CONFIRMATION NO. 2814

Gunnar G. Leinberg, Esq.  
NIXON PEABODY LLP  
Clinton Square  
P.O. Box 31051  
Rochester, NY 14603



FILING RECEIPT



\*OC000000005908572\*

Date Mailed: 03/27/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

David P. Biss, Williamson, NY;  
Thomas G. Brown, Rochester, NY;  
Kathleen S. Youngworth, Rochester, NY;

**Continuing Data as Claimed by Applicant****Foreign Applications**

Projected Publication Date: To Be Determined - pending completion of Missing Parts

Non-Publication Request: No

Early Publication Request: No

~~\*\*SMALL ENTITY\*\*~~*Delete***Title**

Apparatus for production of an inhomogeneously polarized optical beam for use in illumination and a method thereof

**Preliminary Class**

359

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**Data entry by : SARWARI, HOMA**

**Team : OIPE**

**Date: 03/27/2001**





**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15 (b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:



Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants : <b>David P. Biss, Thomas G. Brown, and Kathleen S. Youngworth</b>	)	
	)	Examiner:
	)	<b>To Be Assigned</b>
	)	
Serial No. : <b>09/759,913</b>	)	Art Unit:
	)	<b>2873</b>
Cnfrm. No. : <b>2814</b>	)	
	)	
Filed : <b>January 12, 2001</b>	)	
	)	
For : <b>AN APPARATUS FOR PRODUCTION OF AN INHOMOGENEOUSLY POLARIZED OPTICAL BEAM FOR USE IN ILLUMINATION AND A METHOD THEREOF</b>	)	
	)	
	)	
	)	

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**NOTIFICATION OF ERROR IN DESIGNATION OF SMALL ENTITY STATUS**

Assistant Commissioner for Patents  
Washington, D.C. 20231  
**Box:**

Dear Sir:

Applicants hereby notify the U.S. Patent and Trademark Office that the designation of small entity status for the above-identified application is in error.

At the time of filing of the above-identified application, the basic filing fee as a small entity was paid and small entity status was accorded as shown in the enclosed copy of the official filing receipt dated May 22, 2000..

Applicants acknowledge that all of the aforementioned fees were erroneously paid as a small entity and hereby submit the deficiency payment pursuant to 37 CFR § 1.28(c)(2) and request that the designation of small entity status be corrected.

The itemization of the total deficiency payment owed, pursuant to 37 CFR § 1.28(c)(2), is as shown below:

(A) Each type of fee that was erroneously paid as a small entity as well as the current fee amount for a non-small entity:

BASIC FILING FEE FOR A NONPROVISIONAL PATENT	\$710.00
TOTAL CLAIMS	\$1206.00
INDEPENDENT CLAIMS	\$480.00

(B) The small entity fee actually paid, and when:

BASIC FILING FEE FOR A NONPROVISIONAL PATENT (paid January 12, 2001)	\$355.00
TOTAL CLAIMS (paid January 12, 2001)	\$603.00
TOTAL INDEPENDENT CLAIMS (paid January 12, 2001)	\$240.00

(C) The deficiency owed amount (for each fee erroneously paid):

BASIC FILING FEE FOR A NONPROVISIONAL PATENT	\$355.00
TOTAL CLAIMS	\$603.00
TOTAL INDEPENDENT CLAIMS	\$240.00

(D) The total deficiency payment owed: \$1,198.00

Respectfully submitted,

Date: April 27, 2001

Gunnar G. Leinberg  
Gunnar G. Leinberg  
Registration No. 35,584

NIXON PEABODY LLP  
Clinton Square, P.O. Box 31051  
Rochester, New York 14603  
Telephone: (716) 263-1014  
Facsimile: (716) 263-1600

Certificate of Mailing - 37 CFR 1.8(a)	
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date below.	
4/27/01 Date	<u>Sherri A. Moscato</u> Sherri A. Moscato